

Electronic Corrections

Feature List

1. Introduction

The purpose of this document is to collect, analyze, and define high-level needs and features of the eCGAP Corrections process. It focuses on the capabilities needed by the stakeholders and the target users.

The NIH eCGAP project has accepted and processed electronic grant application submissions in a continuing pilot since November 2003, using system-to-system methods. Grant applications are submitted electronically, processed through the eCGAP exchange, and then verified by the PI and SO in the NIH Commons. During these pilots the submitter has been able to submit corrections up to the point of the PI/SO verification process, but not after the verification process starts. There is now a need to build rules and an approval process for corrections/addenda after the verification process has started. This includes all back office processing at the NIH. After the verification process has started, the NIH starts the grant administration process and continues this process throughout the life cycle of a grant application (i.e. receipt, referral, peer review, grants management, program management).

2. Scenarios

The scope of the correction, addenda and data change process are detailed in the following scenarios:

1. Full Application Correction

Prior to PI/SO verification through the Commons: **(This feature currently exists)**

- Applicant submits, through a service provider, the full grant application to replace the existing one that was originally submitted.
- The system validates the submission
- The system deletes the existing application
- The system processes the new submission
- The system notifies the PI/SO to verify the application

After the PI/SO verifies through the Commons:

- Applicant submits, through a service provider, the full grant application and justification to replace the existing one that was originally submitted. (This type of correction will only be available through the DRR First Contact process.)
- The system validates the submission
- The system processes the new submission
- The system notifies PI/SO to re-verify the application resubmission
- The system allows the PI/SO to re-verify
- The system displays the change history and the applicant justification through the Grant Folder

2. Addenda & Other PDF Attachments

- Applicant submits, through a service provider, the addenda or other PDF attachments and justification.
- The system validates the submission
- The system processes the submission
- The system creates a tracking record
- The system routes to the current NIH owner

- The system notifies the current NIH owner
 - The system allows the current NIH owner to review the submission and the original grant image
 - The NIH owner accepts or rejects the submission
 - The system notifies the PI/SO of the result
 - The system sends a message to the service provider of the result
 - The system stores the addend/other PDF attachments
 - The system displays the addenda/other PDF attachments through the Grant Folder
 - The system displays the change history and the applicant justification through the Grant Folder
3. Structured Data Correction **(not to be done for the first pilot)**
- Applicant submits, through a service provider, structured data corrections and justification.
 - The system validates the submission
 - The system processes the submission
 - The system creates a tacking record
 - The system routes to the current NIH owner
 - The system notifies the current NIH owner
 - The system allows the current NIH owner to review the submission and the original grant image
 - The NIH owner accepts or rejects the submission
 - The system notifies the PI/SO of the result
 - The system sends a message to the service provider of the result
 - The system stores the data in the database (if applicable)
 - The system keeps track of the data changes in a log
 - The system displays the change history and the applicant justification through the Grant Folder

The scope of the purposed solution is that for the first iteration is limited to: (Note: NIH will only accept one correction per transaction, but will accept multiple transactions)

- Full grant application correction with re-verification by the PI/SO
- Addenda and “other” PDFs

Examples of PDF files:

Project Description	Research Plan – Progress Report
Positions Honors and Citations	Research Plan – Research Design & Methods
Research Support	Research Plan –Human Subjects
Facilities Description	Research Plan – Vertebrate Animals
Equipment Description	Research Plan – Literature Cited
Introduction to Revised Application	Research Plan – Consortium & Contractual Agreements
Introduction to Supplemental Application	Research Plan – Product Development Plan
Research Plan – Narrative (Specific Aims)	Cover Letter – Investigator Cover Letter
Research Plan – Background & Significance	Other
Research Plan – Preliminary Studies	

3. Solution Features

3.1 Request for Correction

Feature Description	Priority	Included in this Version of the Solution
Request for Correction Process The Applicant submits an electronic correction of the grant application via a Service Provider which converts the data and attachment into a SOAP package with attachments using a system-to-system interface.		

3.2 Exchange Intake and Validation

Feature Description	Priority	Included in this Version of the Solution
Exchange Intake and Validation Process The electronic correction/addenda shall be fed through the eRA Exchange Intake and Validation process which verifies compliance of the grant application rules.		

3.3 PDF Correction Process

Feature Description	Priority	Included in this Version of the Solution
PDF Correction Process For full application replacements, if no fatal errors are found in the validation process, the system shall render the PDF of the grant application image and store the correction (data/file). Note: For addenda (PDF attachments) the system shall only save the PDF but not render the full grant application.		

3.4 Re-verification Process

Feature Description	Priority	Included in this Version of the Solution
Re-verification Process The system shall allow the PI and SO to re-verify the grant application electronically through the Commons for full application replacements. The re-verification process shall be audited.		

3.5 Create Electronic Correction Record Process

Feature Description	Priority	Included in this Version of the Solution
Create Electronic Correction Record Process The eRA system shall create an electronic correction record that includes information that enables; history tracking, corrected and associated original data, pointers to the corrected and associated original PDF files.		

3.6 Review Correction Process

Feature Description	Priority	Included in this Version of the Solution
Review Correction Process The user shall have the capability to review the electronic correction record (view the correction record and the original grant application data and/or image) and shall have the ability to accept or reject the correction.		

3.7 Store Data and/or Image Process

Feature Description	Priority	Included in this Version of the Solution
Store Data and/or Image Process The system shall store the correction (data/file). The end result will be a full replacement of the original grant application or addenda (PDF attachment or structured data).		

3.8 Display Correction through Grant Folder

Feature Description	Priority	Included in this Version of the Solution
Display Corrections through Grant Folder The system shall display the replaced full grant application or addenda (PDF attachment or structured data) through the Grant Folder after the review & approval process is completed.		

3.9 Notifications

Feature Description	Priority	Included in this Version of the Solution
Notifications The system shall send email notifications to the PI/SO, the application owner (depending on status of the application and other criteria) and the Service Provider through system-to-system methods.		

3.10 History Tracking

Feature Description	Priority	Included in this Version of the Solution
History Tracking The system shall keep a log of the history of changes in make that available for viewing through the Grant Folder.		

3.11 Decision History

Feature Description	Priority	Included in this Version of the Solution
Decision History The system shall have the ability to display prior decisions of the approved/rejected corrections.		

3.12 Save In Progress Records

Feature Description	Priority	Included in this Version of the Solution
Save In Progress Records The system shall have the ability to save "in progress" records.		

3.13 Define Business Rules

Feature Description	Priority	Included in this Version of the Solution
Define Business Rules The system shall have built in business rules to define the workflow.		

3.14 Define Permission Rules

Feature Description	Priority	Included in this Version of the Solution
Define Permission Rules The system shall have built in permission rules to define the owner(s) for routing, notifications and the capability to review/accept corrections.		